

PATENT

(Practitioner's Docket No. IN-5421)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1c971 U.S. PTO
10/052006
01/17/02

In re Application of

Valerie L. CRUMLEY, Patricia G.
O'CALLAGHAN and Timothy P.
KANDOW

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: Thursday, January 17, 2002

Examiner: Not Assigned

For: BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC
CONTENT AND COMPOSITE COATING PREPARED THEREFROM

Commissioner of Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

- ☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

- ☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:
- ☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [____], filed on [____]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:
- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [____] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

Information Disclosure Statement
Page 3

- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Acti n** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

Reg. No: 33,772

Anne G. Sabourin
SIGNATURE OF ATTORNEY

Anne Gerry Sabourin
Type or print name of attorney

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Customer No. 26922

FORM PTO-1449
(MODIFIED)US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5421

LIST OF ART CITED BY APPLICANT

(Use sever of sheets if necessary)

In re Application of: Valerie L. CRUMLEY et al.

Serial No.: Herewith

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U.S. PATENT DOCUMENTS								
Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA	4,948,829	08/14/90	Mitsuji et al.	524	04	05/05/89	
	AB	5,011,881	04/30/91	Fujii et al.	524	457	01/16/90	
	AC	5,141,983	08/25/92	Hasegawa et al.	524	457	12/17/91	
	AD	5,227,422	07/13/93	Mitsuji et al.	524	457	08/21/91	
	AE	5,281,655	01/25/94	Mitsuji et al.	524	507	07/22/92	
	AF	5,314,942	05/24/94	Coogan et al.	524	457	07/02/93	
	AG	5,586,384	12/24/96	Newman	29	596	04/28/95	
	AH	5,739,194	04/14/98	Natesh et al.	524	457	06/24/96	
	AI	5,817,735	10/06/98	Hatch et al.	528	84	02/07/96	
	AJ	5,854,332	12/29/98	Swarup et al.	524	507	12/20/96	
	AK	4,978,708	12/18/90	Fowler et al.	524	507	04/25/89	
FOREIGN PATENT DOCUMENTS								
Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AR	Rudin, A. , "The Elements of Polymer Science and Engineering", 2nd ed.;						
		Academic Press; New York, 1999; pp. 53-56,						
	AS	Szycher, M. "Szycher's Handbook of Polyurethanes" CRC Press; Washington, ✓						
		DC 1999, pp 3-22 to 3-23						
	AT							
EXAMINER					DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

*Applicant has modified this form by deleting the word "prior".

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	AA	5,492,731	02/20/96	Temple et al.	427	407.1	05/17/91
	AB	4,954,559	09/04/90	Den Hartog et al.	524	507	9/5/89
	AC	5,397,646	03/14/95	Nickle et al.	428	423.1	12/29/93
	AD	5,589,543	12/31/96	Yokelson et al.	525	131	11/27/95
	AE	5,591,820	01/07/97	Kydonieus et a	528	76	5/9/95
	AF	5,670,600	09/23/97	Nienhaus et al.	528	75	6/18/94
	AG	5,876,802	03/02/99	Brünnemann et al.	427	409	10/28/95
	AH	5,993,911	11/30/99	Brenke et al.	427	407.1	7/30/96
	AI	5,618,859	04-1997	Maeyama et al.	523	201	8/25/95
	AJ	5,492,731	02-1996	Temple et al.	427	407.1	5/17/91
	AK	5,578,669	11-1996	Odawa et al.	524	414	12/20/94

FOREIGN PATENT DOCUMENTS

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							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	Abstract of Kansai, " Polyester-polyurethane compositions as chipping-resistant automotive primers", JP 63-122768, filed on 5/1988
	AS	
	AT	

EXAMINER

DATE CONSIDERED

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	AA	5,593,785	01-1997	Mayo et al.	428	423.1	6/26/95	
	AB	5,114,485	05-1992	Lynch et al.	106	311	5/1/91	
	AC	6,057,400	05-2000	Kinney et al.	524	591	6/6/96	
	AD	6,210,758	4/3/01	McNeil, et al.	427	409	11/17/99	
	AE							
	AF							
	AG							
	AH							
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	AJ							
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